

## Exhibit 300: Capital Asset Plan and Business Case Summary

### Part I: Summary Information And Justification (All Capital Assets)

#### Section A: Overview

1. **Date of Submission:** 1969-12-31
2. **Agency:** 015
3. **Bureau:** 10
4. **Name of this Investment:** Treasury Collateral Management and Monitoring (TCMM)
5. **Unique Project (Investment) Identifier (UPI):** 015-10-01-14-01-1462-00
6. **What kind of investment will this be in FY 2012?:** Full Acquisition
  - Planning
  - Full Acquisition
  - Operations and Maintenance
  - Mixed Life Cycle
  - Multi-Agency Collaboration
7. **What was the first budget year this investment was submitted to OMB?** FY2012

8.

- a. **Provide a brief summary of the investment and justification, including a brief description of how this closes in part or in whole an identified agency performance gap, specific accomplishments expected by the budget year and the related benefit to the mission, and the primary beneficiary(ies) of the investment.**

TCMM will be a centralized system focusing on collateral handling, valuation, and monitoring for the several Treasury business lines. TCMM will provide Financial Institutions, Federal Program Agencies, the Treasury, and the Federal Reserve Bank of Philadelphia collateral operations staff the ability to manage account balances and the Amount to Be Collateralized (ATBC), and monitor collateral balances and deficiencies. TCMM will also compare collateral values to account balances or the ATBC and provide notification of deficiencies. The collateral business line and the investment business line currently coexist on the same systems, along with other disparate functions resulting in redundancy and inefficiencies. TCMM will handle only the collateral business line. The investment business line will interact with collateral as a customer consuming the service. To illustrate, the investment business line will have a need for collateral functionality. To meet this need, the investment program will use TCMM as a service to meet the collateral information need. Thus, TCMM will not duplicate or compete with the investment business line. TCMM will be a client-server distributed system, replacing the legacy mainframe, which is scheduled to be decommissioned. TCMM will have two development releases per year until it is implemented to production in the first quarter FY2012.

- b. **Provide any links to relevant websites that would be useful to gain additional information on the investment including links to GAO and IG reports.**

Title	Link
NONE	

9.

- a. **Provide the date of the Agency's Executive/Investment Committee approval of this investment.**  
2010-09-03
- b. **Provide the date of the most recent or planned approved project charter.** 2009-09-17

**10. Contact information?**

a. **Program/Project Manager Name:** \*

**Phone Number:** \*

**Email:** \*

b. **Business Function Owner Name (i.e. Executive Agent or Investment Owner):** Bailey, Mary

**Phone Number:** \*

**Email:** \*

**11. What project management qualifications does the Project Manager have? (choose only one per FAC-P/PM or DAWIA):** Project manager assigned but qualification status review has not yet started.

- Project manager has been validated according to FAC-P/PM or DAWIA criteria as qualified for this investment.
- Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment.
- Project manager assigned to investment, but does not meet requirements according to FAC-P/PM or DAWIA criteria.
- Project manager assigned but qualification status review has not yet started.
- No project manager has yet been assigned to this investment.

## Section B: Summary of Funding (Budget Authority for Capital Assets)

1.

Table I.B.1: Summary of Funding

(In millions of dollars)

(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)

	PY-1 and earlier	PY 2010	CY 2011 (CY Continuing Resolution)	BY 2012	BY+1 2013	BY+2 2014	BY+3 2015	BY+4 and beyond	Total
Planning:	*	*	*	*	*	*	*	*	*
Acquisition:	*	*	*	*	*	*	*	*	*
Planning & Acquisition Government FTE Costs	*	*	*	*	*	*	*	*	*
Subtotal Planning & Acquisition(DME):	*	*	*	*	*	*	*	*	*
Operations & Maintenance:	*	*	*	*	*	*	*	*	*
Disposition Costs (optional):	*	*	*	*	*	*	*	*	*
Operations, Maintenance, Disposition Government FTE Costs	*	*	*	*	*	*	*	*	*
Subtotal O&M and Disposition Costs (SS):	*	*	*	*	*	*	*	*	*
TOTAL FTE Costs	*	*	*	*	*	*	*	*	*
TOTAL (not including FTE costs):	*	*	*	*	*	*	*	*	*
TOTAL (including FTE costs):	*	*	*	*	*	*	*	*	*
Number of FTE represented by	*	*	*	*	*	*	*	*	*

**Table I.B.1: Summary of Funding**  
**(In millions of dollars)**

(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)

	PY-1 and earlier	PY 2010	CY 2011 (CY Continuing Resolution)	BY 2012	BY+1 2013	BY+2 2014	BY+3 2015	BY+4 and beyond	Total
Costs:									

2. Insert the number of years covered in the column “PY-1 and earlier”: 1

3. Insert the number of years covered in the column “BY+4 and beyond”: \*

4. If the summary of funding has changed from the FY 2011 President’s Budget request, briefly explain those changes:

\*

## Section C: Acquisition/Contract Strategy (All Capital Assets)

1.

Table I.C.1 Contracts Table

Contract Status	Contracting Agency ID	Procurement Instrument Identifier (PIID)	Indefinite Delivery Vehicle (IDV) Reference ID	Solicitation ID	Alternative financing	EVM Required	Ultimate Contract Value (M)	Type of Contract/Task Order (Pricing)	Is the contract a Performance Based Service Acquisition (PBSA)?	Effective date	Actual or expected End Date of Contract/Task Order	Extent Completed	Short description of acquisition
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NONE

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:

\*

3.

- a. Has an Acquisition Plan been developed? If yes, please answer the questions that follow \*
- b. Does the Acquisition Plan reflect the requirements of FAR Subpart 7.1 \*
- c. Was the Acquisition Plan approved in accordance with agency requirements \*
- d. If "yes," enter the date of approval? \*
- e. Is the acquisition plan consistent with your agency Strategic Sustainability Performance Plan? \*
- f. Does the acquisition plan meet the requirements of EOs 13423 and 13514? \*
- g. If an Acquisition Plan has not been developed, provide a brief explanation.

\*

## Part II: IT Capital Investments

### Section A: General

1.
  - a. Confirm that the IT Program/Project manager has the following competencies: configuration management, data management, information management, information resources strategy and planning, information systems/network security, IT architecture, IT performance assessment, infrastructure design, systems integration, systems life cycle, technology awareness, and capital planning and investment control. no
  - b. If not, confirm that the PM has a development plan to achieve competencies either by direct experience or education. yes
  
2. Describe the progress of evaluating cloud computing alternatives for service delivery to support this investment. TCMM will be hosted at the Treasury Web Application Infrastructure (TWAI). The TWAI meets the criteria for a Hybrid model as it has the characteristics of both Community and Public cloud deployment models.
  
3. Provide the date of the most recent or planned Quality Assurance Plan 2010-07-06
  
4.
  - a. Provide the UPI of all other investments that have a significant dependency on the successful implementation of this investment. 000-00-01-00-01-0000-00
  - b. If this investment is significantly dependent on the successful implementation of another investment(s), please provide the UPI(s). 000-00-01-00-01-0000-00
  
5. An Alternatives Analysis must be conducted for all Major Investments with Planning and Acquisition (DME) activities and evaluate the costs and benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request. Provide the date of the most recent or planned alternatives analysis for this investment. 2010-06-01
  
6. Risks must be actively managed throughout the lifecycle of the investment. The Risk Management Plan and risk register must be available to OMB upon request. Provide the date that the risk register was last updated. 2010-03-10

## Section B: Cost and Schedule Performance

Table II.B.1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline:

Description of Activity	DME or SS	Agency EA Transition Plan Milestone Identifier	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
Establish stakeholder agreement, analyze system requirements, build business case	DME	*	\$1.0	\$0.6	2008-10-01	2008-10-01	2009-03-31	2009-03-31	100.00%	100.00%
Finalize system requirements, obtain governance approval	DME	*	\$1.3	\$1.0	2009-04-01	2009-04-01	2009-09-30	2009-09-30	100.00%	100.00%
Development of basic system functionality: collateral comparison, user interface, ACH payments	DME	*	\$1.7	\$1.5	2009-10-01	2009-10-01	2010-03-31	2010-03-31	100.00%	100.00%
Development of basic system functionality: account setup, collateral data feed	DME	*	\$2.2	\$1.7	2010-04-01	2010-04-01	2010-09-30	2010-09-30	100.00%	100.00%
Development of user report functionality, interface with single sign on system	DME	*	\$2.3	\$1.7	2010-10-01	2010-10-01	2011-03-31	2011-03-31	100.00%	100.00%
Development of daily start up and daily finish processes	DME	*	\$2.2	\$0.7	2011-04-01	2011-04-01	2011-09-30		33.00%	32.00%
Transitional	DME	*	\$1.1	\$0.0	2011-10-01		2012-03-31		0.00%	0.00%

Table II.B.1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline:

Description of Activity	DME or SS	Agency EA Transition Plan Milestone Identifier	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
development to launch steady state; final testing and bug fixes										
Software updates, environmental upgrades, bug fixes	DME	*	*	*	2012-04-01	*	2012-09-30	*	*	*
Operational tasks: support system, support Treasury collateral programs	SS	*	*	*	2012-01-01	*	2012-09-30	*	*	*
Software updates, environmental upgrades, bug fixes, potential enhancements as required	DME	*	*	*	2012-10-01	*	2013-03-31	*	*	*
Software updates, environmental upgrades, bug fixes, potential enhancements as required	DME	*	*	*	2013-04-01	*	2013-09-30	*	*	*
Operational tasks: support system, support Treasury collateral programs	SS	*	*	*	2012-10-01	*	2013-09-30	*	*	*
Software updates, environmental	DME	*	*	*	2013-10-01	*	2014-03-30	*	*	*



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Description of Activity	DME or SS	Agency EA Transition Plan Milestone Identifier	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
upgrades, bug fixes, potential enhancements as required										
Software updates, environmental upgrades, bug fixes, potential enhancements as required	DME	*	*	*	2014-04-01	*	2014-09-30	*	*	*
Operational tasks: support system, support Treasury collateral programs	SS	*	*	*	2013-10-01	*	2014-09-30	*	*	*
Software updates, environmental upgrades, bug fixes, potential enhancements as required	DME	*	*	*	2014-10-01	*	2015-03-31	*	*	*
Software updates, environmental upgrades, bug fixes, potential enhancements as required	DME	*	*	*	2015-04-01	*	2015-09-30	*	*	*
Operational tasks: support system, support Treasury collateral programs	SS	*	*	*	2014-10-01	*	2015-09-30	*	*	*
Software updates,	DME	*	*	*	2015-10-01	*	2016-03-31	*	*	*

Table II.B.1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline:

Description of Activity	DME or SS	Agency EA Transition Plan Milestone Identifier	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
environmental upgrades, bug fixes, potential enhancements as required										
Software updates, environmental upgrades, bug fixes, potential enhancements as required	DME	*	*	*	2016-04-01	*	2016-09-30	*	*	*
Operational tasks: support system, support Treasury collateral programs	SS	*	*	*	2015-10-01	*	2016-09-30	*	*	*
Software updates, environmental upgrades, bug fixes, potential enhancements as required	DME	*	*	*	2016-10-01	*	2017-03-31	*	*	*
Software updates, environmental upgrades, bug fixes, potential enhancements as required	DME	*	*	*	2017-04-01	*	2017-09-30	*	*	*
Operational tasks: support system, support Treasury collateral programs	SS	*	*	*	2016-10-01	*	2017-09-30	*	*	*
Software	DME	*	*	*	2017-10-01	*	2018-03-31	*	*	*

Table II.B.1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline:

Description of Activity	DME or SS	Agency EA Transition Plan Milestone Identifier	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
updates, environmental upgrades, bug fixes, potential enhancements as required										
Software updates, environmental upgrades, bug fixes, potential enhancements as required	DME	*	*	*	2018-04-01	*	2018-09-30	*	*	*
Operational tasks: support system, support Treasury collateral programs	SS	*	*	*	2017-10-01	*	2018-09-30	*	*	*

2. If the investment cost, schedule, or performance variances are not within 10 percent of the current baseline, provide a complete analysis of the reasons for the variances, the corrective actions to be taken, and the most likely estimate at completion.

3. For mixed lifecycle or operations and maintenance investments an Operational Analysis must be performed annually. Operational analysis may identify the need to redesign or modify an asset by identifying previously undetected faults in design, construction, or installation/integration, highlighting whether actual operation and maintenance costs vary significantly from budgeted costs, or documenting that the asset is failing to meet program requirements. The details of the analysis must be available to OMB upon request. Insert the date of the most recent or planned operational analysis.

4. Did the Operational analysis cover all 4 areas of analysis: Customer Results, Strategic and Business Results, Financial Performance, and Innovation? yes

Section C: Financial Management Systems

Table II.C.1: Financial Management Systems			
System(s) Name	System acronym	Type of Financial System	BY Funding
*	*	*	*

Section D: Multi-Agency Collaboration Oversight (For Multi-Agency Collaborations only)

Table II.D.1. Customer Table:	
Customer Agency	Joint exhibit approval date
NONE	

Table II.D.2. Shared Service Providers		
Shared Service Provider (Agency)	Shared Service Asset Title	Shared Service Provider Exhibit 53 UPI (BY 2011)
*	*	*

Table II.D.3. For IT Investments, Partner Funding Strategies (\$millions):							
Partner Agency	Partner exhibit 53 UPI (BY 2012)	CY Monetary Contribution	CY “In-Kind” Contribution	CY Fee-for-Service	BY Monetary Contribution	BY “In-Kind” Contribution	BY Fee-for-Service
NONE							

Table II.D.4. Legacy Systems Being Replaced		
Name of the Legacy Investment of Systems	Current UPI	Date of the System Retirement
*	*	*

## Section E: Performance Information

Table I.E.1a. Performance Metric Attributes

Measurement Area (For IT Assets)	Measurement Grouping (For IT Assets)	Measurement Indicator	Reporting Frequency	Unit of Measure	Performance Measure Direction	Baseline	Year Baseline Established for this measure (Origination Date)
Processes and Activities	Timeliness	Average Initial Notification of a Collateral Deficiency Within One Business Day	monthly	Percent	increase	98	2012-01-01
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2012	99		Not Due	2010-12-29
			2013	100		Not Due	2010-12-29
Customer Results	Delivery Time	Average Number of Business Days to Establish a New Account	monthly	Day	decrease	5	2012-01-01
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2012	4		Not Due	2010-12-29
			2013	3		Not Due	2010-12-29
Technology	Availability	Average TCMM Available Up Time	monthly	Percent	increase	98.5	2012-01-01
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2012	99		Not Due	2010-12-29

			2013	99		Not Due	2010-12-29
Processes and Activities	Timeliness	Develop business process for deficiency notification	semi-annual	Percent	increase	95	2011-01-01
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2011	100		Not Due	2011-06-29
Customer Results	Delivery Time	Develop business process to establish accounts	semi-annual	Percent	increase	95	2011-01-01
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2011	100		Not Due	2011-06-29
Technology	Availability	Percentage of requirements developed for implementation on hosting platform	semi-annual	Percent	increase	85	2011-01-01
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2011	95		Not Due	2011-06-29
Mission and Business Results	Reporting and Information	Percentage of user requested reports developed	semi-annual	Percent	increase	90	2011-01-01
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2011	95		Not Due	2011-06-29
Mission and Business Results	Reporting and Information	TCMM Reports Available by 7:00 a.m. ET	monthly	Percent of days	increase	98.5	2012-01-01

Fiscal Year	Target	Actual Results	Target “Met” or “Not Met”	Last Updated
2012	99.5		Not Due	2010-12-29
2013	99.5		Not Due	2010-12-29

\* - Indicates data is redacted.